

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Health Resources and Services Administration

Healthcare Systems Bureau

Division of Facilities Compliance and Recovery

Affordable Care Act (ACA)
Infrastructure to Expand Access to Care

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FUNDING OPPORTUNITY ANNOUNCEMENT

Fiscal Year 2011

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Modified on 9/27/10 to clarify language on page 14 (ix.) to read “Describe the extent to which the existing facility is *inadequate*”

Modified on 9/23/10 to clarify that the Environmental Information and Documentation (EID) checklist does not count against the 80-page limit.

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Legislative Authority: Section 10502: the Patient Protection and Affordable Care Act (P. L. 111-148).

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I. FUNDING OPPORTUNITY DESCRIPTION

Purpose

The Infrastructure to Expand Access to Care (IEAC) Program, authorized by the Patient Protection and Affordable Care Act, provides funding for debt service on, or direct construction or renovation of, a health care facility that provides research, inpatient tertiary care, or outpatient clinical services. This announcement details the competitive funding opportunity available to institutions of higher education with an academic health center and the State's sole public academic medical and dental school.

The State's Governor must certify that the institution of higher education applying for the IEAC grant demonstrated that:

- the new health care facility is critical for the provision of greater access to health care within the State;
- such facility is essential for the continued financial viability of the State's sole public medical and dental school and its academic health center.
- the request for Federal support represents no more than 40 percent support of the total eligible cost of the project; and
- at the time of application submission, the State has established a dedicated funding mechanism (e.g., bonds, enacted legislation, etc.) to provide all funds necessary to complete the construction or renovation of the proposed project.

Applications that fail to include the Governor's certification statement will be deemed non-compliant and will be returned to the applicant without further consideration.

Institutions of higher education may propose one or more of the following types of IEAC projects:

Debt Service: This project type includes payment of principal and interest on an outstanding note payable or bond related to direct construction or renovation of a health care facility.

Renovation: This project type includes work required to modernize, improve, and/or change the interior arrangements or other physical characteristics of an existing facility, and may include purchasing and installation of equipment. This type of project should not increase square footage.

Construction (new site or expansion of existing site): This project type includes (i) building a new structure or adding a new structure to an existing site that increases the total square footage of the facility, and may include the purchasing of and installation of equipment.

The IEAC grant is a one-time award and there will be no ongoing support of IEAC grant activities beyond the project period.

The IEAC grant, administered by the Health Resources and Services Administration (HRSA), will have separate reporting requirements and funding categories (i.e., grantees will need to be

able to track IEAC grant funds separately from funds received from other sources). Reporting requirements and expectations related to IEAC funding are discussed in section VI.3.

Background

The Legislative Authority for this program is Section 10502 of The Patient Protection and Affordable Care Act (P.L. 111-148), signed into law March 23, 2010. Additional information related to the Affordable Care Act at the U.S. Department of Health and Human Services (HHS) can be accessed at <http://www.healthcare.gov>. Information and technical assistance (Frequently Asked Questions, sample budget justification, templates, etc.) related to the IEAC under the Affordable Care Act can be found at a link on <http://www.hrsa.gov/hcofconstruction/infrastructure/>.

II. AWARD INFORMATION

1. Type of Award

Funding will be provided in the form of a grant.

2. Summary of Funding

This new program will provide funding during Federal fiscal year 2011. Approximately \$100 million is expected to be available to support one award. The period of support will be for a five year project/budget period.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

Institutions of higher education located in one of the 50 States with an academic health center and the State's sole public academic medical and dental school are eligible to apply.

2. Cost Sharing/Matching

Federal funding can be no more than 40 percent of the total eligible cost of the project. The State must have established a dedicated funding mechanism (e.g., bonds, enacted legislation, etc.), by the date the application is submitted, to provide the remaining non-Federal funds needed to complete the construction or renovation of the proposed facility.

Applications that fail to include letters of commitment from all dedicated funding sources to cover the non-Federal share of the total eligible cost of the project will be deemed non-compliant and will be returned to the applicant without further consideration.

3. Other

Applications that exceed the ceiling amount of \$100,000,000 of support from the IEAC will be considered non-responsive and will not be considered for funding under this announcement.

Any application that fails to satisfy the deadline requirements referenced in *Section IV.3* will be considered non-responsive and will not be considered for funding under this announcement.

Eligible Uses of Funds

Institutions of higher education may apply for financial assistance to provide funding for debt service on, or direct construction or renovation of a health care facility (including related equipment). Applicants must implement projects that address greater access to health care within the State and the continued financial viability of the State's sole public medical and dental school and its academic health center.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Application Materials

HRSA *requires* applicants for this funding opportunity announcement to apply electronically through Grants.gov. All applicants *must* submit in this manner unless they obtain a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Applicants must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. Your email must include the HRSA announcement number for which you are seeking relief, the name, address, and telephone number of the organization and the name and telephone number of the Project Director as well as the Grants.gov Tracking Number (GRANTXXXX) assigned to your submission along with a copy of the "Rejected with Errors" notification you received from Grants.gov. **HRSA and its Grants Application Center (GAC) will only accept paper applications from applicants that received prior written approval.** However, the application must still be submitted under the deadline.

Refer to HRSA's *Electronic Submission User Guide*, available online at <http://www.hrsa.gov/grants/userguide.htm>, for detailed application and submission instructions. Pay particular attention to Section 2 which provides detailed information on the competitive application and submission process.

Applicants must submit proposals according to the instructions in the Guide and in this funding opportunity announcement in conjunction with Standard Forms 424. The forms contain additional general information and instructions for applications, proposal narratives, and budgets. These forms may be obtained from the following sites by:

(1) Downloading from www.grants.gov or

(2) Contacting the HRSA Grants Application Center at:
910 Clopper Road
Suite 155 South
Gaithersburg, MD 20878
Telephone: 877-477-2123
HRSAGAC@hrsa.gov

Specific instructions for preparing portions of the application that must accompany Standard Forms SF-424 appear in the “Application Format” section below.

2. Content and Form of Application Submission

Application Format Requirements



The total size of all uploaded files **may not exceed the equivalent of 80 pages when printed by HRSA, or a total file size of 10 MB. This 80-page limit includes the abstract, project and budget narratives, attachments, and letters of commitment and support.** Standard forms are NOT included in the page limit.



Applications that exceed the specified limits (approximately 10 MB, or that exceed 80 pages when printed by HRSA) will be deemed non-compliant. All non-compliant applications will be returned to the applicant without further consideration.

Application Format

Applications for funding must consist of the documents as indicated in table SF-424 Construction – Table of Contents in the order provided.




SF-424 Construction – Table of Contents

-  It is mandatory to follow the instructions provided in this section to ensure that your application can be printed efficiently and consistently for assessment.
-  Failure to follow the instructions may make your application non-compliant. Non-compliant applications will be returned to the applicant without further consideration.

-  For electronic submissions, applicants only have to number the electronic attachment pages sequentially, resetting the numbering for each attachment, i.e., start at page 1 for each attachment. Do not attempt to number standard OMB approved form pages.
-  For electronic submissions no table of contents is required for the entire application. HRSA will construct an electronic table of contents in the order specified.

| Application Section | Form Type | Instruction | HRSA/Program Guidelines |
|--|------------|--|---|
| Application for Federal Assistance (SF-424) | Form | Pages 1, 2 & 3 of the SF-424 face page. | Not counted in the page limit |
| Project Summary/Abstract | Attachment | Can be uploaded on page 2 of SF-424 - Box 15 | Required attachment. Counted in the page limit. Refer to guidance for detailed instructions. Provide table of contents specific to this document only as the first page |
| HHS Checklist Form PHS-5161-1 | Form | Pages 1 & 2 of the HHS checklist. | Not counted in the page limit |
| Project Narrative Attachment Form | Form | Supports the upload of Project Narrative document | Not counted in the page limit |
| Project Narrative | Attachment | Can be uploaded in Project Narrative Attachment form. | Required attachment. Counted in the page limit. Refer to guidance for detailed instructions. Provide table of contents specific to this document only as the first page |
| SF-424C Budget Information - Construction Programs | Form | Supports structured budget for the request of construction related funds | Not counted in the page limit |
| SF-424D Assurances - Construction Programs | Form | Supports assurances for construction programs | Not counted in the page limit |
| Disclosure of Lobbying Activities (SF-LLL) | Form | Supports structured data for lobbying activities. | Not counted in the page limit |

| Application Section | Form Type | Instruction | HRSA/Program Guidelines |
|---|------------|---|--|
| Project/Performance Site Location(s) | Form | Supports primary and 29 additional sites in structured form. | Not counted in the page limit. |
| Additional Performance Site Location(s) | Attachment | Can be uploaded in the SF-424 Performance Site Location(s) form. Single document with all additional site location(s) | Not counted in the page limit. |
| Other Attachments Form | Form | Supports up to 15 numbered attachments. This form only contains the attachment list | Not counted in the page limit |
| Attachment 1-10 | Attachment | Can be uploaded in Other Attachments form 1-10 | Refer to the attachment table provided below for specific sequence. Counted in the page limit |

-  **Ensure that the order of the attachments is as specified below.**
-  **Additional supporting documents, if applicable, can be provided using the available rows. Do not use the rows assigned to a specific purpose in the program guidance.**
-  **Merge similar documents into a single document. Where several pages are expected in the attachment, ensure that you place a table of contents cover page specific to the attachment. Table of contents page will not be counted in the page limit.**

| Attachment Number | Attachment Description (Program Guidelines) |
|-------------------|--|
| Attachment 1 | Certification Letter from the Governor |
| Attachment 2 | Non-federal project funding letters of commitment and other support documentation |
| Attachment 3 | Itemized Equipment List |
| Attachment 4 | Capitalization Policy Certification Statement |
| Attachment 5 | Loan Documents Regarding Debt Service |
| Attachment 6 | Information Regarding Property (Title/Lease) |
| Attachment 7 | Environmental Checklist |
| Attachment 8 | Schematic Drawings |
| Attachment 9 | Cultural Resources Assessment |
| Attachment 10 | Copies of biographical sketches for any key employed personnel (Not counted in page limit) |

i. Application Face Page (Grants.gov)

Complete the SF-424 provided with the application package. Prepare according to instructions provided in the form itself. For information pertaining to the Catalog of Federal Domestic Assistance, the Catalog of Federal Domestic Assistance Number is 93.502.

DUNS Number

All applicant organizations are required to have a Data Universal Numbering System (DUNS) number in order to apply for a grant from the Federal Government. The DUNS number is a unique nine-character identification number provided by the commercial company, Dun and Bradstreet. There is no charge to obtain a DUNS number. Information about obtaining a DUNS number can be found at www.dnb.com or via telephone at 1-866-705-5711. Please include the DUNS number in item 8c on the application face page. Applications **will not** be reviewed without a DUNS number. Note: a missing or incorrect DUNS number is the primary reason for an application to be “Rejected for Errors” by Grants.gov.

Additionally, the applicant organization is required to register annually with the Federal Government’s Central Contractor Registry (CCR) in order to do electronic business with the Federal Government. Information about registering with the CCR can be found at <http://www.ccr.gov>.

ii. Table of Contents

The application should be presented in the order of the Table of Contents provided earlier. Again, for electronic applications no table of contents is necessary as it will be generated by the system. (Note: the Table of Contents will not be counted in the page limit.)

iii. Application Checklist (Grants.gov)

Complete the HHS Checklist Form PHS 5161-1 provided with the application package.

iv. Budget

Complete Application Form SF-424C provided with the application package for all projects. Do NOT use the non-construction forms, SF-424A or SF-424B. The chart below lists the allowable and unallowable costs through the IEAC.

| | ALLOWABLE | UNALLOWABLE |
|---|---|--|
| Line 1 - Administrative and legal expenses | <ul style="list-style-type: none">▪ Salary of applicant’s staff and consultant fees that are directly related to the administration of the technical aspects of the proposed project. Generally, administrative and legal expenses should be less than 10% of total project costs;▪ Costs of obtaining required data for the environmental analysis report; and▪ Bonding and insurance costs. | <ul style="list-style-type: none">▪ Salary of applicant’s staff and consultant fees that are not related to the administration of the technical aspects of the proposed project;▪ Bonus payments to construction contractors;▪ Costs of groundbreaking and dedication ceremonies and items such as plaques;▪ Indirect expenses such as general department |

| | | |
|--|---|--|
| | | <ul style="list-style-type: none"> operations and maintenance; ▪ Expendable office, medical, and laboratory supplies; and ▪ Fund-raising expenses. |
| Line 2 - Land, structures, right-of-way, appraisals, etc. | | <ul style="list-style-type: none"> ▪ Land or the cost of purchasing a building. |
| Line 3 - Relocation expenses and payments | <ul style="list-style-type: none"> ▪ Relocation payments to be made to displaced persons, business concerns and nonprofit organizations for moving expenses and replacement housing; and ▪ Relocation advisory assistance and the net amounts for replacement (last resort) housing. This line is limited to approved applicants whose project involves the displacement of persons and businesses that must comply with the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 ((42 U.S.C. 4601 et seq.) 84 Stat.1894) and 49 CFR Part 24. | <ul style="list-style-type: none"> ▪ The cost of relocating the grantee's office. |
| Line 4 - Architectural and engineering fees | <ul style="list-style-type: none"> ▪ Fees associated with architectural and engineering professional services; ▪ Associated expenses for preparation of specifications and reproduction of design documents; and ▪ For construction projects, costs incurred before an award for architect's fees and consultant's fees necessary to the planning and design of the project if the project is approved and funded. | <ul style="list-style-type: none"> ▪ Architectural and engineering fees for work that is not within the scope of the approved project; ▪ Costs of abandoned designs (costs associated with a design that will not be used to construct the building); and ▪ Elaborate or extravagant designs, materials, or projects that are above the known local costs for comparable buildings. |
| Line 5 - Other architectural and engineering fees | <ul style="list-style-type: none"> ▪ Other architectural and engineering services, such as surveys, tests, and borings; and ▪ Preliminary expenses associated with the approved award. | |
| Line 6 - Project inspection fees | <ul style="list-style-type: none"> ▪ Clerk-of-the-works, inspection fees, structural certification, etc., to be provided by architectural engineering firm or the applicant's staff. | <ul style="list-style-type: none"> ▪ Fees not associated with the requested project. |
| Line 7 - Site work | <ul style="list-style-type: none"> ▪ See line 9 | <ul style="list-style-type: none"> ▪ Fees not associated with the requested project. |
| Line 8 - Demolition and removal | <ul style="list-style-type: none"> ▪ Costs of demolition or removal of structures or improvements. Reduce the costs on this line by the amount of expected proceeds from the sale of salvage. | <ul style="list-style-type: none"> ▪ Costs not associated with the requested award. |
| Line 9 - | <ul style="list-style-type: none"> ▪ Costs of fixed equipment necessary for the | <ul style="list-style-type: none"> ▪ Relocation of utilities that |

| | | |
|----------------------------|---|---|
| Construction | <p>functioning of the facility. FIXED EQUIPMENT is equipment that requires modification of the facility for its satisfactory installation or removal and is included in the construction contract. Examples include: fume hoods, linear accelerator, laboratory casework, sinks, fixed shelving, built-in sterilizers, built-in refrigerators, and drinking fountains;</p> <ul style="list-style-type: none"> ▪ Costs of constructing new building(s) to be used for the program. This includes costs of materials and labor within the local range of comparable buildings; ▪ Construction costs for expansion, remodeling, and alteration of existing buildings, which will be used for the program; ▪ Sanitary sewer, storm sewer, and portable water connections, providing that such municipal utilities are located in streets, roads, and alleys contiguous to the site; ▪ Costs of connecting to existing central utility distribution systems contiguous to the site, such as steam and chilled water that service a campus from centrally located boiler and refrigeration plants. Prorated costs for new boilers and chillers to serve the proposed facility are acceptable; ▪ Site clearance, grading, land improvement costs, including reasonable costs for landscaping, sidewalks, drives, and parking areas which are located on the site and are essential for the use and operation of an approved project; ▪ Reasonable landscaping costs for seeding and sodding; ▪ Special features for earthquake resistance code requirements. Use nationally recognized codes adopted by authorities having jurisdiction; ▪ Costs of eliminating architectural barriers to the handicapped; and ▪ Costs of pollution-control equipment for the facility's boilers, incinerators, waste water treatment, etc., which may be required by local, State, or Federal regulations. The facility must meet requirements of both current and future pollution abatement regulations as described in currently approved pollution plans. | <p>are off site and off-site improvements;</p> <ul style="list-style-type: none"> ▪ Prorated cost of existing central utility plant and distribution systems, which serve the proposed facility; ▪ Works of art; and ▪ Fixed equipment if it is not part of the construction contract. |
| Line 10 - Equipment | <ul style="list-style-type: none"> ▪ MOVABLE EQUIPMENT - defined as an article of non-expendable, tangible personal property having a useful life of more than 1 | <ul style="list-style-type: none"> ▪ Equipment that does not meet the moveable equipment definition; and |

| | | |
|--------------------------------|--|---|
| | <p>year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the applicant for its financial statement purposes, or (b) \$5,000. Items with a unit cost less than \$5,000 are allowable only if the applicant's capitalization policy indicates that individual items or groups of items are capitalized at a level less than \$5,000 (see page 18 for an additional documentation requirement if equipment items have a unit cost of less than \$5,000). Moveable equipment can be readily shifted from place to place without requiring a change in the utilities or structural characteristics of the space. This equipment is usually purchased outside of any construction contract. This category includes such items as video systems, moveable desks, chairs, operating and obstetrical tables, anesthesia apparatus, oxygen tents, wheeled equipment, computers with software and licenses, but does not include items that are expendable at the time of use (such as food, fuel, dressings, and drugs). All radiographic equipment, including CAT scanners and MRIs, is considered moveable;</p> <ul style="list-style-type: none"> ▪ The cost to train individuals how to operate the equipment, if included in the purchase contract; ▪ Fixed equipment if it is not part of the construction contract; ▪ Sales tax (unless the applicant is otherwise exempt) and shipping costs on the equipment; and ▪ Service contract costs if it is included in the purchase contract. | <ul style="list-style-type: none"> ▪ |
| Line 11 - Miscellaneous | <ul style="list-style-type: none"> ▪ Enter amounts for items not specifically mentioned above that are directly related to the project. If line 11c is more than 10% of line 16c (total cost), the applicant must explain what this line consists of in the Budget Narrative section; and ▪ The cost of alternate bid work up to the amount of the original bid submitted. ▪ Debt service | <ul style="list-style-type: none"> ▪ Additional expense resulting from the rejection of an alternate bid at the start of construction and later reinstating the bid at an increased cost due to escalation; and ▪ Sales taxes, Federal excise taxes and other taxes when the applicant is exempt from such taxes or is entitled to a refund by the State or Federal Government after payment. |
| Line 12 – SUBTOTAL | Enter the sum of Lines 1 through 11 | |

| | | |
|---|--|--|
| Line 13 - Contingencies | <ul style="list-style-type: none"> The contingency of this program is limited to 5% of Line 9c and line 10c. However, if the facility has already awarded a construction contract, the contingency is limited to 2% of the construction line. If the equipment is already purchased, there is no contingency for that line. | |
| Line 14 – SUBTOTAL | Enter the sum of Lines 12 and 13 | |
| Line 15 – Project (program) income | | <ul style="list-style-type: none"> This is not applicable to this program |
| Line 16 – TOTAL PROJECT COSTS | Enter the amount in line 14 | |
| Line 17 | Enter the amount you are requesting under the IEAC | |

Column A – Total Cost

Indicate the total cost of the project as defined in your program narrative. (For new construction or renovation projects, the entire cost of the project is usually shown in this column. If you are only funding a specific phase of the project, only show the costs associated with that phase.)

Column B – Costs Not Allowable for Participation

Only costs defined as non-allowable in the funding opportunity announcement should be entered in Column B. For example, contingency costs exceeding the 5% limit must be entered in Column B; however, most applications will have no costs entered in column B. **Do not include costs in Column B merely to reduce Column C to the award amount.**

Column C –Total Allowable Costs

Subtract Column B from Column A. Please reference the SF-424C Budget Page examples provided on pages 12-14.

The entry in Line 17 is a calculated field based on the Federal share percentage. The percentage is restricted to whole numbers (no decimals), which does not allow for the exact Federal share amount to be indicated in line 17 of the 424C. Therefore, enter into the Federal share percentage the percentage that will result in an amount in line 17 that is as close as possible to the requested Federal share amount. The Federal share percentage can be no more than 40 percent of the total eligible cost of the project.

SF-424C Budget Page Examples

EXAMPLE INCLUDES COSTS NOT ALLOWABLE FOR PARTICIPATION

| OMB Approval No. 0348- 0041 | | | |
|--|----------------------|---|---|
| BUDGET INFORMATION - Construction Programs | | | |
| <i>NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case you will be notified.</i> | | | |
| COST CLASSIFICATION | a. Total Cost | b. Costs Not Allowable for Participation | c. Total Allowable Costs (Column a- b) |
| 1. Administrative and legal expenses | \$ 750,000.00 | \$ (1) 225,000.00 | \$ 525,000.00 |
| 2. Land, structures, rights-of-way, appraisals, etc. | \$ 3,500,000.00 | \$ (2) 3,500,000.00 | \$ 0.00 |
| 3. Relocation expenses and payments | \$.00 | \$.00 | \$.00 |
| 4. Architectural and engineering fees | \$ 10,200,050.00 | \$ (3) 450,000.00 | \$ 9,750,050.00 |
| 5. Other architectural and engineering fees | \$.00 | \$.00 | \$.00 |
| 6. Project inspection fees | \$ 15,000.00 | \$.00 | \$ 15,000.00 |
| 7. Site work | \$ 2,900,000.00 | \$.00 | \$ 2,900,000.00 |
| 8. Demolition and removal | \$ 475,000.00 | \$.00 | \$ 475,000.00 |
| 9. Construction | \$ 225,000,000.00 | \$.00 | \$ 225,000,000.00 |
| 10. Equipment | \$ 8,750,000.00 | \$.00 | \$ 8,750,000.00 |
| 11. Miscellaneous | \$ 10000.00 | \$.00 | \$ 10000.00 |
| 12. SUBTOTAL (sum of lines 1- 11) | \$ 251,600,050.00 | \$ 4,175,000.00 | \$ 247,425,50.00 |
| 13. Contingencies | \$ 13,000,000.00 | \$ (4) 1,312,500.00 | \$ 11,687,500.00 |
| 14. SUBTOTAL | \$ 264,600,050.00 | \$ 5,487,5090.00 | \$ 259,112,550.00 |
| 15. Project (program) income | \$.00 | \$.00 | \$.00 |
| 16. TOTAL PROJECT COSTS (subtract #15 from #14) | \$ 264,600,050.00 | \$ 5,487,500.00 | \$ 259,112,550.00 |
| FEDERAL FUNDING | | | |
| 17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share). Enter the resulting Federal share. Enter eligible costs from line 16c Multiply X (include decimal point in number) <u>39%</u> | | | \$ 100,000,000.00 |

Standard Form 42C (Rev. 7-97)

Prescribed by OMB Circular A-102

Ineligible Examples Mentioned in the Program Guide

1. Bonus Payment to contractor
2. Land Purchase
3. Cost of abandoned designs
4. Maximum contingency of 5% allowed of lines 9 (if new construction) and 10 (equipment).

v. Budget Justification

The Budget Justification must provide a written description of each line item under columns A, B and C of the Budget Page (SF-424C). Line item information must be provided to explain the costs entered in Application Form SF-424C. **The budget justification must clearly describe each cost element and explain how each cost contributes to meeting the project's objectives/goals.** Be very careful about showing how each item in the "other" category is justified. The budget justification MUST be concise. Do NOT use the justification to expand the project narrative.

The IEAC award can constitute no more than 40 percent of the total eligible cost of the project. Therefore, the Budget Justification must also discuss the non-Federal share contribution to the project. The non-Federal share is considered to be any funding other than the IEAC award. Because the IEAC award will not cover the total project cost, describe, and provide by source, the dollar amount from the other sources of funding. Include letters of commitment from all dedicated funding sources to assure HRSA that the project has the required non-Federal share amount to complete the project. If letters of commitment covering all of the non-Federal project funding are not submitted with the application, the application will be deemed non-compliant and the application will be returned to the applicant without further review.

vi. Staffing Plan and Personnel Requirements

Applicants must present a staffing plan and provide a justification for the plan that includes education and experience qualifications and rationale for the amount of time being requested for each staff position. Position descriptions that include the roles, responsibilities, and qualifications of proposed project staff must be included in Project Management portion of the Program Narrative. Copies of biographical sketches for any key employed personnel that will be assigned to work on the proposed project must be included in Attachment 10.

vii. Assurances and Certifications

Use the SF-424D Assurances for Construction Program form. Use the Certifications and Disclosure of Lobbying Activities Application Form provided with the application package. (The Davis-Bacon Act listed in item #13 of the SF-424D does not apply to this program.)

viii. Project Abstract

Provide a summary of the application. Because the abstract is often distributed to provide information to the public and Congress, prepare this section in a clear, accurate, concise manner, and without reference to other parts of the application. It must include a brief description of the proposed grant project including the needs to be addressed, the proposed services, and the population group(s) to be served.

Please place the following at the top of the abstract:

- *Project Title*
- *Applicant Name*
- *Address*
- *Contact Phone Numbers (Voice, Fax)*
- *E-Mail Address*
- *Web Site Address, if applicable*

The project abstract must be single-spaced and limited to one page in length.

ix. Program Narrative

This section provides a comprehensive framework and description of all aspects of the proposed program. It should be succinct, self-explanatory, and well organized so that reviewers can understand the proposed project. The narrative must include the date the project will be operational and the proposed number of project participants.

Program Narrative Format: Use the following section headers for the Program Narrative. Explanation of content for each section is provided below:

- **Introduction**
- **Need**
- **Implementation and Monitoring**
- **Timeframe**
- **Service Impact**
- **Project Management/Project Team**
- **Funding Sources**

Introduction

Provide overview and justification for the IEAC proposal, including goals and objectives.

Need

Explain how the IEAC proposal will appropriately address the State's immediate needs and how it will enhance the health care facility's effectiveness in expanding access to care. Specifically:

- Clearly identify and describe the needs to be addressed with this project (e.g., insufficient space, limited access to care, accommodation of new or enhanced services).
- Describe to the extent to which the existing facility is adequate to provide effective access to care.
- Identify all location(s) of the medical and dental school(s) and its academic health center(s), specifying whether there is a sole campus or multiple campuses.
- Identify the target population and describe the need for the proposed health care facility that provides research, inpatient tertiary care and outpatient clinical services (e.g., demographic data, health status, barriers to care issues). State concisely the importance of this project to the organization's mission and population it serves.
- Describe the current financial situation as it relates to the need for the proposed health care facility.

Implementation and Monitoring

- Describe the proposed health care facility in relation to the existing situation (e.g., current versus proposed access to care).

- Describe the overarching impact of the IEAC proposal on the operational budget and how the proposal will impact the organization and promote organizational sustainability once the project has been completed. This plan should outline how the health care facility will support operating costs including utilities, maintenance, repair, and capital reinvestment costs for the proposed project.
- Explain how the facility will maintain the improved access/services resulting from the IEAC project **within** its existing operational budget in the long-term.
- Describe how potential adverse impacts on the environment will be reduced with the IEAC proposal. Explain how the health care facility will be implementing green/sustainable principles (e.g., using project materials, construction approaches, equipment selection).
- Explain how the proposed health care facility will improve the organization's financial viability.
- Describe the current stage of the project and when you anticipate breaking ground.
- Explain how the organization will manage any unexpected difficulties and/or challenges that may arise.
- Describe the methodology that will be used to track progress with (i) developing the facility and (ii) bringing about the service delivery impacts anticipated. Earned Value Management should be used to track progress.

Timeframe

Indicate the timeframe for demonstrating progress with this IEAC project by identifying the start and end dates for each of the following critical milestones: planning, project development, alteration/renovation or construction phase, and project completion. Describe the current status of the project including any steps that may have been accomplished to date and identify the person or entity accountable for each milestone.

Service Impact

Describe the organization's projected impact that the IEAC proposal will have on the following:

- Expanded research programs
- Total number of new inpatient tertiary care patients
- Total number of new outpatient clinical services
- Total number of new dental patients
- Total number of additional visits by type, e.g., primary, specialty, dental

Project Management / Project Team

- Explain the administrative structure and oversight for the project, including the role and responsibilities of the health care facility's key management staff and governing board regarding the proposed IEAC project. Describe the content and frequency of status reports to the board. Describe the board's authority to take corrective action for cost and schedule variances.
-

- Indicate the qualifications of the individual (the Project Manager) who will be responsible for managing the project and the individuals (Project Team) who will be implementing the project.
- Describe how the Project Team has the expertise and experience necessary to successfully manage the project within the timeline outlined and achieve the goals and objectives established for this project.
- If the organization is at an early stage in the development of the project, indicate how the team will manage the project.
- Describe the ongoing institutional (e.g., governing board, management) commitment to the proposed improvement or enhancement.
- Identify the individual at the public higher education institute who will be responsible for managing this project and the individuals (name and title) who comprise the project team.
- Provide documentation on alternatives analysis was conducted, that at least three alternatives were considered and the rationale for selection.
- Provide documentation on acquisition strategy. If the strategy does not include competition, provide a rationale.
- Explain the risk management plan. List potential challenges and mitigation strategies. Quantify the probability of occurrence and the level of impact (high, medium, low).
- Describe the work documentation requirements such as work breakdown structure, risk management plans, and integrated master schedule.

Funding Sources

- Identify the State's established dedicated funding mechanism (e.g., bonds, enacted legislation, etc.) to provide all the remaining funds necessary to complete the project, and provide documentation of the funding mechanism (Attachment 2 Non-federal project funding letters of commitment and other support documentation). This funding mechanism must be in place at the time of the application.
- Describe the relationship of the funding sources indicating that no more than 40 percent of the funds are from the IEAC grant (e.g., for a project totaling \$250,000,000, the selected facility may receive the IEAC \$100,000,000 grant and must have a dedicated funding mechanism in place at the time of application that ensures the remaining \$150,000,000 will be available; for a project totaling \$300,000,000, the selected facility may receive the IEAC \$100,000,000 grant and must have a dedicated funding mechanism in place at the time of application that ensures the remaining \$200,000,000 will be available).

Identify other sources of funding as well as the amounts that will be used to cover the total cost associated with this project and indicate when and whether these funds are secured, expected, or forthcoming (e.g., discuss the date, the source, and amount).

| Funding Sources | Amount Secured | Amount Expected | Amount Forthcoming | Total |
|-----------------|----------------|-----------------|--------------------|-------|
| a. Federal IEAC | | | | |

| | | | | |
|-------------------------------|--|--|--|--|
| b. Other Funding Sources | | | | |
| - State Grants | | | | |
| - Local Government Funding | | | | |
| - Other Federal Funding | | | | |
| - Private/Third Party Funding | | | | |
| - Other Project Financing | | | | |

ADDITIONAL NARRATIVE GUIDANCE

In order to ensure that the six (6) review criteria are fully addressed in the application, this box provides a cross-reference between the narrative text language and the review criteria.

| <u>Narrative Section</u> | <u>IEAC Review Criteria</u> |
|---------------------------------|--|
| Introduction | (1) Need |
| Need | (1) Need |
| Implementation and Monitoring | (2) Response & (3) Evaluative Measures |
| Timeframe | (2) Response & (3) Evaluative Measures |
| Service Impact | (4) Impact |
| Project Management/Project Team | (5) Resources/Capabilities |
| Funding Sources | (5) Resources/Capabilities & (6) Support Requested |
| | |

x. Program Specific Information

Additional Application Requirements for Construction-Related Projects

(a) Notice of Federal Interest (NFI)

NFI filings are required for all new construction, and for “major” renovations (total project costs of more than \$500,000 excluding moveable equipment costs). The NFI states that the approval of the Associate Administrator, Office of Federal Assistance Management (OFAM), Health Resources and Services Administration (HRSA), must be given before the property can be mortgaged, be sold, and have interest subordinated to another party, be transferred, or be used for a purpose inconsistent with the application. **The effective period of the NFI is in perpetuity, or until the grantee requests disposition, at which time HHS will receive reimbursement representing its Federal Interest in the property. See Appendix B for a sample NFI.**

In circumstances where Federal funding is being used towards construction on leased property, the owner of the property must file a Notice of Federal Interest and provide a lease long enough for the full value of the grant-supported improvements to benefit the grant activity (a minimum of 25 years).

The notarized NFI MUST be filed with the appropriate local land records office, and a copy of the recorded document must be submitted to DGMO before funds can be drawn down. Questions regarding the NFI should be directed to the Grants Management Specialist.

You are further advised to take the appropriate steps to maintain the documents as prescribed above that substantiate any and all subsequent capital improvements to the real property which was constructed, or for which funds for “major” renovation activities were provided under an IEAC award. Doing so will be to your benefit as any subsequent improvements paid for with non-Federal funds will increase the non-Federal share of interest over that of the Federal share. Before any property can be disposed of in accordance with 45 CFR parts 74 and 92, HRSA and the grantee must determine the current ratio of the Federal versus the non-Federal share in the property which may have changed over time as a result of additional improvements to the property.

(b) Construction Contract Deadline

The awardee must certify through the Electronic Handbook Progress Reporting process that they have entered into a construction contract within 12 months of the issuance of the Notice of Award, or the award may be withdrawn. Additional time can be provided, if needed, if the award recipient is making reasonable progress. Contact your Grants Management Specialist.

The award may be terminated for cause if the awardee materially fails to comply with the terms and conditions of applicable HHS regulations and policies.

(c) Design and Construction Requirements and Selection of an Architectural and Engineering (A/E) Firm

The awardee must follow the Federal construction requirements cited in this Guidance and specified on the IEAC website (linked at <http://www.hrsa.gov/hcofconstruction/infrastructure/>) before proceeding with the development of the project. The IEAC Office will provide guidance pertaining to design and construction inquiries, monitoring, and surveillance on Federally-assisted projects to ensure that the design, bidding documents, and construction comply with Federal requirements. The IEAC Office contact information is listed on page 32.

The Architectural Barriers Act of 1968, as amended, the Federal Property Management Regulations 101-19.6 (41 CFR 101-19.6), and the Uniform Federal Accessibility Standards issued by the General Services Administration (41 CFR 101-19.6, Appendix A) set forth requirements to make facilities designed, built, altered, or leased with Federal funds accessible to, and usable by, the physically handicapped and include minimum design standards. In addition, The Americans with Disabilities Act (42 U.S.C. 12101 et seq.) and Architectural Barriers Act Accessibility Requirements are available online at <http://www.access-board.gov/ada-aba/final.pdf>.

The awardee must select a qualified team for site selection, building design, and construction inspection. The Government is not involved in the selection process and does not require that the awardee select a certain firm or choose from a list of approved firms. To assist with this process an awardee may contact the local chapter of the American Institute of Architects (AIA) or by searching at <http://architectfinder.aia.org/>. If the project is proposed to be Design-Build or has a Construction Manager, immediately call the IEAC Office to discuss special requirements.

It is suggested that you use the American Institute of Architects (AIA) Document B-141, “Standard Form of Agreement between Owner and Architect.” When using this document in negotiations with an architectural/engineering firm, the awardee is advised to amend the terms and conditions to fit the specific needs of the project for professional services and other requirements. Limit the contract to an individual project; open-ended agreements are not allowed. Applicants must submit a copy of the proposed agreement, which services projects in the applicant’s State, if technical assistance is desired.

In addition to stipulating the basic fee (usually 5 to 15 percent of the estimated construction cost), the agreement with the architectural/engineering firm should provide for the following professional services:

- i. Preparing a design management plan as soon as possible after the contract is executed which includes: how the firm will accomplish the work, preferably by task, with a schedule for each task; and a design development schedule setting forth target dates for completion of the various design phases;
- ii. Performing a computer analysis to select a design which reduces energy consumption for heating and cooling (**recommended** although optional at this time);
- iii. Obtaining a list of prime contractors and subcontractors to secure clearance for construction competitive bidding. This clearance is necessary to ensure that the contractors and subcontractors shown on the Excluded Parties List System (www.epls.gov) are not awarded contracts;
- iv. Preparing a list of points of critical inspection and all points required by State and local authorities;
- v. Attending a pre-construction conference;
- vi. Conducting periodic site visits during construction. The visits should be at least monthly, depending upon the nature and complexity of the project; and
- vii. Coordinating a joint final inspection of construction with the contractor and the IEAC Office representative (if necessary).

The Contract Documents and project reviews for all construction and renovation projects must conform to the most current version of the requirements found at our website, linked at www.

<http://www.hrsa.gov/hcofconstruction/infrastructure/>, or to the State and local codes if they exceed our requirements.

Sustainable Design

For information regarding design practices for hospital and medical facilities, refer to the latest edition of the document “Guidelines for Design and Construction of Health Care Facilities.”

The specifics of Sustainable Design are discussed in Appendix A3 to the document’s Environment of Care section (1.2.3). The appendix references the U.S. Green Building Council’s LEED Green Building Rating System (www.usgbc.org) and the Green Guide for Health Care (www.gghc.org). This document can be purchased from the American Institute of Architects (AIA) Order Department, PO Box 60, Williston, Vermont 05495-0060; (1-800-365-ARCH).

Sustainable design principles (e.g. energy efficiency, water efficiency, day lighting) are to be incorporated when planning all new buildings and should be strongly considered to the maximum extent feasible in any renovation that will be funded at \$1 million or more.

Please briefly discuss in the Program Narrative, the Sustainable Design practices which will be included in the project planning.

Applicants are strongly encouraged to commit to measuring, tracking and ranking their energy indoor air quality the Energy Star for Healthcare Portfolio at http://www.energystar.gov/index.cfm?c=healthcare.bus_healthcare.

(d) Force Account Labor

If in-house personnel are selected in accordance with the applicant organization’s own policies for design work done in-house and for construction work done in-house, maintain documentation justifying their use in terms of economy and qualifications. The total cost for in-house personnel plus the fee for the architect and engineer must not exceed the prevailing architectural and engineering fee costs (usually 5 to 15 percent of the construction bid cost). If an applicant chooses to use its architectural and engineering staff in lieu of selecting a private firm, the applicant must obtain approval from the IEAC Office prior to beginning the design phase. The applicant must also show that it is more cost effective in comparison to outsourcing the work, the need for record keeping, time constraints, and other reasons for doing the work in-house. The applicant should state who takes final responsibility for design and/or construction. A licensed architect must stamp drawings and specifications. The facility must be able to obtain a building permit and a certificate of occupancy upon completion from local authorities.

(e) Environmental Review

The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C 4321 (P.L. 91-190, Sec. 2, Jan. 1, 1970, 83 Stat., 852), including Public Disclosure, Section 102 of NEPA, and EO 11514, requires Federal agencies to assess the environment impacts of major Federal actions, including construction projects supported in whole or in part through Federal contracts, grants, subsidies, loans, or other forms of funding assistance.

HRSA requires that applicants provide information on anticipated environmental impact as part of their applications. APPLICANTS MUST SUBMIT WITH THEIR APPLICATION an Environmental Information and Documentation (EID) Checklist (see <ftp://ftp.hrsa.gov/hcofconstruction/HCOFEnvironmentalChecklist.doc>), and a published notice describing the project for all projects EXCEPT equipment only projects where THERE ARE NO PLANNED PERMANENT OR TEMPORARY ALTERATIONS OF THE FACILITY TO ACCOMMODATE THE EQUIPMENT.

If the project has received a NEPA compliant environmental assessment at the Federal, State or local level, a copy of the assessment must be sent to the IEAC Office. Please contact the IEAC Office to determine how to submit this information.

If it has been determined by HRSA, after reviewing the EID, that the project may have a significant impact on the environment, the HRSA will contact the applicant and request that they initiate and prepare an Environmental Assessment (EA). Based on the review of the draft EA, HRSA will determine if there is a Finding of No Significant Impact (FONSI) or additional review is required.

If the EA finds no significant impact on the environment, HRSA will prepare a FONSI document briefly presenting the reasons why an action, not otherwise excluded, will not have a significant effect on the environment. The FONSI will be provided to the recipient with instructions for providing a Public Notice of HRSA's determination.

If, HRSA determines that there is a potentially significant impact on the environment for which it may be necessary to prepare an Environmental Impact Statement (EIS), HRSA will consult with the recipient. The IEAC Office will: provide advice and assistance to the applicant, as necessary, concerning review procedures; evaluate the results of the review; and make the final decision on environmental impact as required by NEPA.

(f) Property Information

Discuss whether the applicant has possession of the project site or intends to acquire the site through eminent domain, negotiated purchase, or other means.

- i. If the applicant has a title to the property:
 - Attach the title and plot plan survey; or
 - Attach an opinion from counsel describing the interest that the applicant has in the site and certifying that the estate or interest is legal and valid. A plot plan must be attached as well; and
 - Identify potential issues, such as procurement issues, e.g., property ownership is not at arm's length.
- ii. If the applicant is leasing the project space, these requirements must be met:
 - The lease must be renewable to meet the 25 years of possession requirement;

- The property owner must agree in writing to the renovation of the property;
- The property owner must agree in writing to the filing of a NFI;
- Attach a copy of the lease.

If neither is available at the time of the application, describe steps taken to obtain title or lease. The awardee will not be allowed to draw down funds until this information is available.

(g) Cultural Resource Assessment and Historic Preservation (HP) Section 106 Review

Grant applications for IEAC funds for facility construction and renovation-related projects must be reviewed under the terms of section 106 of the National Historic Preservation Act (NHPA). Under section 106, prior to the expenditure of funds, an assessment must be made of the potential effects of undertakings on historic properties (which include any prehistoric or historic district, site, building, structure, or object), that are eligible for listing or are listed on the National Register of Historic Places (NRHP). HRSA has determined that the following activities constitute an undertaking: 1) all new construction and expansion projects (including demolition of existing buildings); 2) alteration and renovation projects where exterior changes to the building façade or surroundings (such as grading, fencing, or additional parking) may be made (including roof, windows and parking lots), and 3) where interior renovations may be made to a building that is over fifty (50) years old, or is historically, architecturally, or culturally significant. Under Section 106, prior commencing work outside of architectural and engineering services, or acquiring necessary licenses, permits and other approvals for the project, an assessment must be made of the potential effects of undertakings on historic properties, and a notification/ consultation must take place with all interested parties. Pursuant to the regulations at 36 CFR Part 800, HRSA determines the project's effect on historic properties in consultation with the State Historic Preservation Officer (SHPO), Tribal Historic Preservation Officers (THPO), representatives of the local government, and other affected Indian tribes and interested parties.

Working with the State Historic Preservation Officer

The NHPA regulations provide for applicants or their authorized representatives to initiate the section 106 compliance consultations when authorized to do so by the Federal agency. **All IEAC applicants and their authorized representatives are hereby authorized to initiate the section 106 process directly with the State Historic Preservation Officer (SHPO).** HRSA has notified the involved SHPOs that the applicant will be so authorized. The applicant will present its initial finding related to historic preservation status to the SHPO and the SHPO will concur or disagree in writing with the finding. IEAC funds may be used to hire consultants to complete the applicant's section 106 and other related historic preservation responsibilities. An applicant should discuss with the SHPO whether to hire a consultant to assist with the section 106 review. In most cases, it would be advantageous to the applicant. The SHPO should have a list of qualified consultants in the area. When consulting with SHPOs, the applicant/authorized representative should identify the organization they are representing, include an appropriate contact person within the organization, and describe the undertaking needing the section 106 review.

WORKING WITH PROJECTS LOCATED ON TRIBAL LANDS

In accordance with 36 CFR Section 800.2(c)(2), HRSA shall ensure that all consultations with THPOs/Indian Tribes are conducted in a manner respectful of Tribal sovereignty and the government-to-government relationship between the Federal government and Indian Tribes. This policy, therefore, is not intended to modify or limit such requirements. HRSA recognizes its Tribal consultation responsibility. Only if the THPO/Tribe decides to forgo its government-to-government relationship in this instance, and the THPO/Tribe agrees to work with the applicants directly, will the applicant/authorized representative contact the THPO/Tribe. (For information on THPOs, see <http://www.nathpo.org/mainpage.html>).

Ensuring Timely Consultation

Until the applicant/authorized representative discusses the project with the SHPO, it should be assumed that construction or renovation of structures may potentially impact cultural and historic properties.

If HRSA determines that additional review by the SHPO is necessary, HRSA will authorize applicable recipients to initiate consultation with the SHPO. For projects that require additional review, IEAC project funds may not be drawn down until HRSA receives documentation from the SHPO/THPO concurring that the property:

- is not historic; or
- is historic, with the project causing no potential adverse effects; or
- is historic and the project may cause adverse effects and provide a resolution to the adverse effects through a fully executed MOA finalized by all parties.

(h) Equipment Energy Standards

The selection of all equipment to be purchased through the IEAC is to be based on a preference for recycled content, non-hazardous substances, non-ozone depleting substances, energy and water efficiency, and consideration of final disposal (disposed in a manner that is safe, protective of the environment, and compliant with all applicable regulations) unless there are conflicting health, safety, and performance considerations.

Applicants are encouraged to employ the standards established by either the Electronic Product Environmental Assessment Tool (EPEAT) or Energy Star, where practicable, in the procurement of IT equipment. Following these standards will mitigate many of the negative effects on human health and the environment from the proliferation, rapid obsolescence, low recycling rate, high energy consumption, and potential to contain hazardous materials, and increased liability from improper disposal. Additional information for these standards can be found online at the following sites:

- 1) For EPEAT at <http://www.epeat.net>
- 2) For Energy Star at <http://www.energystar.gov>

EPA provides a free database for scientific/medical healthcare products at:

<http://yosemite.epa.gov/oppt/epstand2.nsf/Pages/ListTables.html?Open&Scientific%2FMedical%20Store&Healthcare%20Products&Type=A>

xi. Attachments

These and any other required application attachments must either be referenced in the Application Section if already listed, or included as specific “Attachment Numbers” in that portion of the application’s Table of Contents listed in section IV.2. The required application attachments include:

Attachment 1: Certification letter from the Governor.

The Governor must certify that

- the new health care facility is critical for the provision of greater access to health care within the State;
- such facility is essential for the continued financial viability of the State’s sole public medical and dental school and its academic health center.
- the request for Federal support represents no more than 40 percent support of the total eligible cost of the project; and
- at the time of application submission, the State has established a dedicated funding mechanism (e.g., bonds, enacted legislation, etc.) to provide all funds necessary to initiate and complete the construction or renovation of the proposed project.

Attachment 2: Non-Federal project funding letters of commitment and other support documentation.

Include only letters of support which specifically indicate a commitment to the project/program (in-kind services, dollars, staff, space, equipment, etc.) Letters of agreement and support must be dated. List all other support letters on one page.

Attachment 3: Itemized Equipment List.

| Items | Cost | Total Cost |
|---------------|------------|------------------|
| 2 centrifuges | @ \$27,000 | \$54,000 |
| 2 freezers | @ \$30,000 | \$60,000 |
| 4 incubators | @ \$25,000 | \$100,000 |
| TOTAL | | \$214,000 |

All requests for movable equipment must include itemization and unit price:

Attachment 4: Capitalization Policy Certification Statement.

To be considered eligible for the IEAC, equipment is an individual item with a useful life of 1 year or more, and a unit cost of either \$5,000 or greater, or equal or greater than the capitalization threshold that the applicant uses for its own accounting records. Supplies and items immediately expensed in the applicant’s accounting system are not eligible costs.

The applicant must submit with the application a signed and dated statement from the head of its Accounting Department that states:

“I affirm that all items listed as equipment in the application are being treated as capital items under [*Organization’s name*] accounting system.”

Please note that equipment must be maintained, tracked, and disposed of in accordance with the grant regulations at 45 CFR Parts 74.34 and 92.32. Grantees must maintain records in accordance with 74.53(b)(2) and 92.42(c)(2).

Attachment 5: Loan Documents Regarding Debt Service.

Copy of loan documents and certified statement from loan institution regarding current status and terms of loan, including monthly payment obligations.

Attachment 6: Information Regarding the Property (Title/Lease) – if appropriate.

Attachment 7: Environmental Information and Documentation (EID) Checklist – if appropriate. (See Appendix A. Not counted in page limit)

Attachment 8: Schematic Drawings – if appropriate.

Preliminary schematic drawings, which include estimated gross square footage, should be included as an attachment to the application package; otherwise provide an expected date for submission of the schematic drawings. Schematic drawings are not detailed like blueprints, and an architect does not need to prepare these line drawings. Before the drawings are prepared, the applicant may want to discuss the design, costs, and lead times with the IEAC Office.

Attachment 9: Cultural Resource Assessment, Historic Preservation Section 106 Review – if appropriate.

Attachment 10: Copies of biographical sketches for key employed personnel.

3. Submission Dates and Times

Application Due Date

The due date for applications under this new award announcement is **October 4, 2010 at 8:00 P.M. ET**. Applications completed online are considered formally submitted when the application has been successfully transmitted electronically by your organization's Authorized Organization Representative (AOR) through Grants.gov and has been validated by Grants.gov on or before the deadline date and time.

The Chief Grants Management Officer (CGMO) or designee may authorize an extension of published deadlines when justified by circumstances such as natural disasters (e.g., floods or hurricanes) or other disruptions of services such as a prolonged blackout. The authorizing official will determine the affected geographical area(s).

Late Applications:

Applications which do not meet the criteria above are considered late applications and will not be considered in the current competition.

4. Intergovernmental Review

This program is not a program subject to the provisions of Executive Order 12372, as implemented by 45 CFR 100.

5. Funding Restrictions

Funding is restricted to no more than 40 percent of the total cost of the proposed new facility. Funding may be used for debt service on, or direct construction or renovation of, a health care facility that provides research, inpatient tertiary care, or outpatient clinical services. Such facility shall be affiliated with an academic health center at a public research university in the United States that contains the State's sole public academic medical and dental school.

6. Other Submission Requirements

As stated in Section IV.1, except in rare cases HRSA will no longer accept applications in paper form. Applicants submitting for this funding opportunity are **required** to submit **electronically** through Grants.gov. To submit an application electronically, please use the <http://www.Grants.gov> apply site. When using Grants.gov you will be able to download a copy of the application package, complete it off-line, and then upload and submit the application via the Grants.gov site.

It is essential that your organization **immediately register** in Grants.gov and become familiar with the Grants.gov site application process. If you do not complete the registration process you will be unable to submit an application. The registration process can take up to one month.

To be able to successfully register in Grants.gov, it is necessary that you complete all of the following required actions:

- Obtain an organizational Data Universal Number System (DUNS) number
- Register the organization with Central Contractor Registry (CCR)
- Identify the organization's E-Business Point of Contact (E-Biz POC)
- Confirm the organization's CCR "Marketing Partner ID Number (M-PIN)" password
- Register an Authorized Organization Representative (AOR)
- Obtain a username and password from the Grants.gov Credential Provider

Instructions on how to register, tutorials and FAQs are available on the Grants.gov web site at www.grants.gov. Assistance is also available 24 hours a day, 7 days a week (excluding Federal holidays) from the Grants.gov help desk at support@grants.gov or by phone at 1-800-518-4726.

Formal submission of the electronic application: Applications completed online are considered formally submitted when the application has been successfully transmitted electronically by your organization's AOR through Grants.gov and has been validated by Grants.gov on or before the deadline date and time.

It is incumbent on applicants to ensure that the AOR is available to submit the application to HRSA by the published due date. HRSA will not accept submission or re-submission of incomplete, rejected, or otherwise delayed applications after the deadline. Therefore, you are urged to submit your application in advance of the deadline. If your application is rejected by Grants.gov due to errors, you must correct the application and resubmit it to Grants.gov before the deadline date and time.

If, for any reason, an application is submitted more than once, prior to the application due date, HRSA will only accept the applicant's last electronic submission prior to the application due date as the final and only acceptable submission of any competing application submitted to Grants.gov.

Tracking your application: It is incumbent on the applicant to track application status by using the Grants.gov tracking number (GRANTXXXXXXXX) provided in the confirmation email from Grants.gov. More information about tracking your application can be found at <http://www07.grants.gov/applicants/resources.jsp>.

V. Application Review Information

1. Review Criteria:

Procedures for assessing the technical merit of applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Review criteria are outlined below with specific detail and scoring points.

Review criteria are used to review and to rank applications. The IEAC has six (6) review criteria.

Criterion 1. Need (25 points). The extent to which

- The purpose is clearly stated and is consistent with the legislative intent of the appropriate purpose.
- The need for the proposed project thoroughly describes the problem and associated contributing factors to the problem.
- The rationale describes how the proposed project will contribute to meeting the documented needs. The proposal clearly addresses current facility deficiencies that inhibit the efficient and effective provision to provide research, inpatient tertiary care, or outpatient clinical services as evidenced in the Project Narrative and Project Abstract

Criterion 2. Response (25 points). The extent to which the proposed project responds to the stated program purpose. The extent to which the application identifies that the facility is

essential for the continued financial viability of the State's sole public medical and dental school and its academic health center as evidenced in the Project Narrative and Project Abstract. The extent to which the proposal seeks to reduce adverse impacts on the environment. The application implements green/sustainable design principals as evidenced in the implementation and monitoring portion of the Project Narrative.

Criterion 3. Evaluative Measures (10 points). The measure must show the effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess: 1) to what extent the program objectives have been met; and, 2) to what extent these can be attributed to the project.

Criterion 4. Impact (15 points). The extent to which an application demonstrates the impact of the IEAC project's effectiveness and efficiency including:

- Expanded research programs.
- Total number of new inpatient tertiary care patients.
- Total number of new outpatient clinical services.
- Total number of new dental patients.
- Total number of additional visits by type, e.g., primary, specialty, dental.

The extent to which the applicant describes the overarching impact of the proposal on the operational budget and financial viability.

The extent to which the proposal will promote the sustainability or expansion of the services provided by the IEAC once the project has been completed.

Criterion 5. Resources/Capabilities (15 points). The extent to which project personnel are qualified by training and/or experience to implement and carry out the projects. The capabilities of the applicant organization to fulfill the needs and requirements of the proposed project. The extent to which:

- The institution of higher education has the appropriate qualifications, competence, and resources to achieve the project goals and complete the proposal in a timely way as evidenced in Project Management portion of the Project Narrative.
- There is evidence of commitment from key management staff and the institution of higher education's governing board as evidenced in Project Management portion of the Project Narrative.
- The institution of higher education will be able to provide the resources to complete the project(s) on time and within budget as evidenced in the Funding Sources portion of the Project Narrative.

Criterion 6. Support Requested = 10 points. The reasonableness of the proposed budget and budget justification in relation to the objectives, the complexity of the activities, and the anticipated outcomes.

The extent to which the application budget demonstrates:

- A plan assuring the effective use of grant funds and resources to carry out the project is provided.

- A reasonable proposed budget that reflects an effective use of the funds requested.
- A budget justification(s) that shows how the costs contribute to the goals and objectives of the proposal as evidenced in Budget Justification.
- The application provides a complete and reasonable equipment list that demonstrates how the costs contribute to the goals and objectives of the IEAC project as evidenced in Equipment List.
- The proportion of requested Federal grant funds are appropriate given other sources of funds committed for the IEAC project as evidenced in the Funding Sources portion of the Project Narrative.

2. Review and Selection Process

The Division of Independent Review is responsible for managing objective reviews within HRSA. Applications competing for federal funds receive an objective and independent review performed by a committee of experts qualified by training and experience in particular fields or disciplines related to the program being reviewed. In selecting review committee members, other factors in addition to training and experience may be considered to improve the balance of the committee, e.g., geographic distribution. Each reviewer is screened to avoid conflicts of interest and is responsible for providing an objective, unbiased evaluation based on the review criteria noted above. The committee provides expert advice on the merits of each application to program officials responsible for final selections for award.

Applications for IEAC funding will be reviewed for completeness and eligibility, architecture and engineering reasonableness, Federal interest, environmental evaluation, and historic and cultural preservation. Applications that pass the initial HRSA eligibility screening will be reviewed and rated by a panel based on the program elements and review criteria presented in relevant sections of this program announcement. The review criteria are designed to enable the review panel to assess the quality of a proposed project and determine the likelihood of its success. The criteria are closely related to each other and are considered as a whole in judging the overall quality of an application.

3. Anticipated Announcement and Award Dates

The anticipated notice of award date is December 15, 2010.

VI. Award Administration Information

1. Award Notices

Each applicant will receive written notification of the outcome of the objective review process, including a summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. The applicant who is selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding can proceed. Letters of notification do not provide authorization to begin performance.

The Notice of Award sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which initial support will be given, the non-Federal share to be provided (if applicable), and the total project period for which support is contemplated. Signed by the Grants Management Officer, it is sent to the applicant agency's Authorized Organization Representative (AOR), and reflects the only authorizing document. It will be sent prior to the start date of **December 15, 2010**.

2. Administrative and National Policy Requirements

Successful applicants must comply with the administrative requirements outlined in 45 CFR Part 74 [Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations](#) or 45 CFR Part 92 [Uniform Administrative Requirements For Grants And Cooperative Agreements to State, Local, and Tribal Governments](#), as appropriate.

HRSA grant awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable to the grant based on recipient type and purpose of award. This includes, as applicable, any requirements in Parts I and II of the HHS GPS that apply to the award. The HHS GPS is available at <http://www.hrsa.gov/grants/>. The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the Notice of Award).

Cultural and Linguistic Competence

HRSA is committed to ensuring access to quality health care for all. Quality care means access to services, information, materials delivered by competent providers in a manner that factors in the language needs, cultural richness, and diversity of populations served. Quality also means that, where appropriate, data collection instruments used should adhere to culturally competent and linguistically appropriate norms. For additional information and guidance, refer to the National Standards for Culturally and Linguistically Appropriate Services in Health Care published by HHS. This document is available online at <http://www.omhrc.gov/CLAS>.

Trafficking in Persons

Awards issued under this guidance are subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.hrsa.gov/grants/trafficking.html>. If you are unable to access this link, please contact the Grants Management Specialist identified in this guidance to obtain a copy of the Term.

PUBLIC POLICY ISSUANCE

HEALTHY PEOPLE 2020

Healthy People 2020 is a national initiative led by HHS that set priorities for all HRSA programs. The initiative has two major goals: (1) to increase the quality and years of a healthy life; and (2) eliminate our country's health disparities. The program consists of 28 focus areas

and 467 objectives. HRSA has actively participated in the work groups of all the focus areas, and is committed to the achievement of the Healthy People 2020 goals.

Healthy People 2010 and the conceptual framework for the forthcoming Healthy People 2020 process can be found online at <http://www.healthypeople.gov/>.

Smoke-free Workplace

The Public Health Service strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. Further, Public Law 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children.

HRSA Guidance on Preparations for the 2nd Phase of the Novel H1N1 Influenza

HRSA has been working with HHS, other Federal agency partners, grantees and grantee associations to get ready for the upcoming flu season. “H1N1 Guidance for HRSA Grantees,” which can be found at www.hrsa.gov/h1n1/, is voluntary guidance intended primarily for HRSA-funded direct service grantees and their sub grantees and contractors, although other HRSA grantees may also find the information useful. This guidance may also be of interest to eligible 340B entities and HRSA’s cooperative agreement partners.

HRSA is providing this to help HRSA-funded programs plan how to best protect their workforce and serve their communities. HRSA will continue to monitor evolving pandemic preparedness efforts and work to provide guidance and information to grantees and grantee associations as it becomes available. Products and updates in support of H1N1 pandemic response efforts will be posted to www.hrsa.gov/h1n1/ as soon as they are released.

3. Reporting

The successful applicant under this funding opportunity announcement must comply with the following reporting and review activities:

a. Audit Requirements

Comply with audit requirements of Office of Management and Budget (OMB) Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at http://www.whitehouse.gov/omb/circulars_default.

b. Payment Management Requirements

Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to www.dpm.psc.gov for additional information.

c. Financial Reports

- 1) **Submit a Federal Financial Report (FFR).** A FFR is required within 90 days of the end of each grant year. The report is an accounting of expenditures under the project that year. More specific information will be included in the award notice.
- 2) **Submit a Progress Report(s).** Further information will be provided in the award notice.
- 3) **A/E Oversight Requirements.** Further information can be found at <http://www.hrsa.gov/hcofconstruction/>.

VII. Agency Contacts

Applicants may obtain additional information regarding business, administrative, or fiscal issues related to this funding opportunity announcement by contacting:

Tonya Randall
Attn.: IEAC
HRSA Division of Grants Management Operations, OFAM
5600 Fishers Lane Room 11A-14
Rockville, MD 20857
Telephone: 301-594-4259
Fax: 301-443-6343

Additional information related to the overall program issues and technical assistance regarding this funding announcement may be obtained by contacting:

Michele Kanner
Director, Division of Facilities Compliance and Recovery
Telephone: (301) 443-5656
Fax: (301) 443-0619

Applicants may need assistance when working online to submit their application forms electronically. For assistance with submitting the application in Grants.gov, contact Grants.gov Contact Center, 24 hours a day, 7 days a week (excluding Federal holidays):

Grants.gov Contact Center
Phone: 1-800-518-4726
E-mail: support@grants.gov

Applicants may need assistance when working online to submit the remainder of their information electronically through HRSA's Electronic Handbooks (EHBs). For assistance with submitting the remaining information in HRSA's EHBs, contact the HRSA Call Center, Monday-Friday, 9:00 a.m. to 5:30 p.m. ET:

HRSA Call Center
Phone: (877) Go4-HRSA or (877) 464-4772

TTY: (877) 897-9910
Fax: (301) 998-7377
E-mail: CallCenter@HRSA.GOV

VIII. Tips for Writing a Strong Application

A concise resource offering tips for writing proposals for HHS grants and cooperative agreements can be accessed online at:

<http://www.hhs.gov/asrt/og/grantinformation/apptips.html>.

Appendix A: ENVIRONMENTAL INFORMATION DOCUMENTATION (EID)

| | | | |
|--|--|--------------------------|------------------------|
| | | OMB No. 0915-0324 | |
| | | Expiration Date: | |
| Public Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The OMB control number for this project is 0915-0324. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: HRSA Reports Clearance Officer, 5600 Fishers Lane, Room 10-33, Rockville, Maryland, 20857. | | | |
| DEPARTMENT OF HEALTH AND HUMAN SERVICES Health Resources and Services Administration ENVIRONMENTAL INFORMATION AND DOCUMENTATION (EID) | | FOR HRSA USE ONLY | |
| | | Grantee Name | |
| | | Grant Number | Application Tracking # |
| | | Project # | Project Type |
| | | Project Title | |
| Grantee Authorized Official: Phone: Email: Grantee EID Preparer: Phone: Email Address: | | | |
| A. USE OF NATURAL RESOURCES | | | |
| This set of criteria is concerned with the use and <u>accessibility</u> of nonrenewable natural resources such as land, minerals, and fuels as well as the flow resources (water and air) which are constantly renewed but in which short-term or local shortages might occur. | | | |
| 1. Is there a controversy with respect to environmental effects of the action based on reasonable and substantial issues? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain: | | | |
| 2. Will the action <i>comply</i> with local and State land use planning? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain: | | | |
| 3. Is the action significantly greater in scope than normal for the area, or will it have significant unusual characteristics? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain: | | | |

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| <p>4. Will the action change traditional use of the land parcel (by rezoning, etc.)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, complete the following: Present Zoning: _____ Present Use of Site: _____ Proposed Zoning: _____</p> |
| <p>5. Will the action involve the purchase, construction or lease of new facilities (including portable facilities and trailers), or substantially increase the capacity of an existing health care facility? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>6. Will the action alter the use of other land by related development of stores, roads or site changes? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> <p>a) Generate new stores? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> <p>b) Cause new roads? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> <p>c) Cause new parking? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>7. Is the action located in either a 100-year or, for critical actions, a 500-year floodplain? <input type="checkbox"/> Yes <input type="checkbox"/> No Attach a Flood Insurance Rate Map to this document. Clearly mark the location of the facility, and the NFIP Panel Number. FIRMettes can be generated electronically at no cost at http://www.msc.fema.gov. The FIRMette module is located in the upper left hand corner, while the tutorial is at the lower right hand corner of the webpage. (If Flood Insurance Rate Maps do not exist for the project site, a floodplain survey or consultation may be required.)</p> |
| <p>8. Will the proposed action adversely impact flood flows in a floodplain or support development in a floodplain? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>9. Will the action include the use of wetlands (swamps, marshes, etc.)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |

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| <p>10. Will the action decrease the volume of water in a lake, river table, reservoir, etc.? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>11. Will the action change traditional use of a body of water? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>12. Will the action violate a Section 404 (Clean Water Act) permit for actions in a wetland and/or Section 10 (Rivers and Harbors Act) permit for actions in a stream or river? (Activities in or near a wetland or river may require a permit from the U.S. Army Corps of Engineers or U.S. Coast Guard. Includes: construction in or near any wet or dry waterway, stream crossings, intake structures, outfalls, etc.) <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>13. Will the action use land for purposes unsuitable to its physical characteristics? Consider these items: Soil borings have/have not been completed. Proposed facility will/will not have foundations similar to other facilities in the area. The facility is/is not in a flood plain. <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>14. Will the action adversely impact a Wilderness Area (Wilderness Areas are specifically designated areas of land)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>15. Will the action have significant adverse direct or indirect effects on park land, other public lands, or areas of recognized scenic or recreational value? (For example, consider how your activity will affect the view?) <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>16. Will the action block access to known mineral deposits? (Sand, gravel, clay, stone, or other common building materials are not considered mineral deposits.) <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>17. Will the action increase fuel and mineral consumption in State by more than 1% annually? <input type="checkbox"/> Yes <input type="checkbox"/> No Est. annual fuel requirements:</p> |

_____ gallons of fuel
_____ cubic feet of natural gas
_____ tons of coal
_____ kWh of electricity
Expected source(s) of these fuels:

B. POLLUTION

This set of criteria concerns the processes that generate pollution. These include the introduction of pollutants into the environment, changes in the flow of energy through the environment, and changes in the composition of environments through the augmentation or deletion of substances that are naturally present. The criteria are also directly concerned with the production and one-time use of materials and the proper disposal of wastes.

1. Will the action increase identifiable ambient air pollution levels from a new emission source or from existing sources?

☐ Yes ☐ No

If yes explain:

2. Will the action increase identifiable ambient air pollution levels through a major increase in the number of or use of automobiles, trucks, etc.?

☐ Yes ☐ No

Approximate number of new employees: _____

3. Will the action exceed city or State health standards with exhausts from fume hoods?

☐ Yes ☐ No

If yes explain:

4. Will the action require major sedimentation and erosion control measures? (Consider earth disturbing activities including construction or expansion of a parking lot.)

☐ Yes ☐ No

If yes explain:

5. Will the action involve:

a) Dredging or swamp drainage?

☐ Yes ☐ No

If yes explain:

b) Construction of a waste treatment plant?

☐ Yes ☐ No

If yes describe capacity and location:

c) Discharge of untreated human waste directly into a lake, river, etc.?

☐ Yes ☐ No

If yes explain:

d) Discharge of laboratory wastes or biohazard wastes directly into a lake, river, etc.?

If Yes Describe:

6. Will the action overload existing waste treatment plants due to new loads (water volume, chemicals, toxicity, etc.)?

☐ Yes ☐ No

If yes, please obtain and submit a connection permit or other approval from local sewer authority.

7. Will the action cause soil erosion (after completion of construction phase) or leaching of foreign substances (such as salt) into soil?

☐ Yes ☐ No

If yes explain:

8. Will the action allow seepage of contaminants into the water table?

☐ Yes ☐ No

If yes explain:

9. Will the action place stress upon an identified earthquake fault?

☐ Yes ☐ No

If yes, please include a statement from a structural engineer.

10. Will the action create an identifiable change in aquatic life by discharge of hot water?

☐ Yes ☐ No

If yes explain:

11. Will the action impact an EPA designated sole source aquifer? (Designation of sole source aquifer puts restrictions and conditions on Federal expenditures, projects, and grants.)

☐ Yes ☐ No

If yes explain:

12. Will the action decrease the percolation on more than one acre of land?

☐ Yes ☐ No

If yes explain:

13. Will the action violate a storm water permit or a wastewater discharge permit either for construction or on-going operations? (Earth disturbing activities may require a Notice of Intent (NOI) to be covered under a storm water general permit or individual permit from the EPA or other agency and a storm water control plan, including some parking lot construction activities. A discharge of wastewater to the environment may require a permit from Tribal, local or State authorities, or EPA.)

☐ Yes ☐ No

If yes explain:

14. Will the action involve the sale or transfer of real property, on which any hazardous substance was stored for one year or more, known to have been released, or disposed of? (Provide relevant documentation for any hazardous substance releases. See 40 CFR 373.2(b), 302.4, and 261.30 for

reportable quantities.)

☐ Yes ☐ No

If yes explain:

Consider the following statements prior to answering questions 17-19: Facility will/will not emit noises in excess of local noise standards. Is facility near a wildlife sanctuary? Are outdoor animal facilities included? Facility will/will not contain x-ray machines. Facility will/will not meet Atomic Energy Commission standards.

15. Will the action produce noises considered offensive to a human population?

☐ Yes ☐ No

If yes explain:

16. Will the action create sounds that result in changes in behavior patterns of animals?

☐ Yes ☐ No

If yes explain:

17. Will the action introduce major new sources of unshielded radiation?

☐ Yes ☐ No

If yes explain:

18. Will the action cause shock waves and/or vibration (after construction phase)?

☐ Yes ☐ No

If yes explain:

19. Will the action change the direction and wind velocity as to affect the local population (i.e., high-rise building)?

☐ Yes ☐ No

If yes explain:

20. Will the action cause a new, large volume of production of non-recycled items?

☐ Yes ☐ No

If yes explain:

21. Will the action result in the non-recycling of recyclable items such as laboratory glassware, animal cages, and office paper?

☐ Yes ☐ No

If yes explain:

If no, indicate number of:

Glassware-washing machines: _____

Cage-washing machines: _____

| |
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| <p>22. Will the action generate solid wastes that cannot be properly disposed of by existing facilities? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe proposed methods and disposal sites.</p> |
| <p>23. Will the action dispose of solid wastes in polluting landfills, wells, caves, etc.? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>24. Will the action require storage of waste pending technology for safe disposal? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>25. Will the action comply with Federal, State, and local requirements for waste handling, transportation, or disposal methods? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe proposed methods:</p> |
| <p>C. POPULATIONS</p> |
| <p>This section of the initial criteria addresses changes in human and plant populations. NOTE: For these criteria, the affected area is defined as being greater than 160 acres in size.</p> |
| <p>1. Will the action result in a 5% change in the density of the local population? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes: Est. local population: _____ Number of new employees: _____</p> |
| <p>2. Will the action result in an alteration of transportation, health, education, and/or welfare service? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>3. Will the action result in a change in social service needs by altering population's age pattern (new schools, etc.)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>4. Will the action result in a 5% change in the transient population? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, include estimated number of: Visitors: _____ Patients: _____ Students: _____</p> |
| <p>5. Will the action result in changes in genetic engineering directed at the human population? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |

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| <p>6. Will the action result in a violation of local, State, or Federal standards pertaining to population densities or conservation of plants and animals? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain. <u>Also describe any approvals needed or submit those already obtained:</u></p> |
| <p>D. HUMAN SERVICES</p> |
| <p>As society has evolved, traditional self-sufficient human communities have given way to dense populations that depend upon the development and application of technology. Man's highly complex, technological environments are maintained by a variety of services, ranging from the provision of the basic necessities of food and water to complex systems of economic exchange. These services are largely interdependent, and their complexities must be considered. NOTE: In this section, the human environment impacted upon is defined as less than 160 acres in size.</p> |
| <p>1. Could the action disrupt food supplies for over 48 hours? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>2. Could the action disrupt water supplies for over 48 hours? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>3. Could the action disrupt electrical power for over 48 hours? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>4. Could the action disrupt heating supplies (natural gas, heating oil) for over 48 hours? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>5. Could the action deprive population of housing for over 48 hours? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>6. Could the action disrupt removal of sewage for over 12 hours? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>7. Could the action disrupt removal of solid waste (trash) for over 7 days? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |

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| <p>8. Could the action disrupt existing health services? ½ response in case of a disaster? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>9. Could the action disrupt telephone, telegraph, radio, or mail service for over 2 weeks? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>10. Could the action disrupt transit service for over 2 weeks? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>11. Will the action use more than 5% of remaining electrical capacity? (<u>Will the project require electrical upgrades?</u>) <input type="checkbox"/> Yes <input type="checkbox"/> No If yes: Estimated daily usage is ____ kWh. <u>Please obtain and submit an approval letter from local utility or plant engineer.</u></p> |
| <p>12. Will the action use more than 5% of remaining water? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes: Estimated daily usage is ____ gallons. <u>Please obtain and submit an approval letter from local utility or plant engineer.</u></p> |
| <p>13. Will the action use more than 5% of available capacity of the sewage treatment system (branch lines, mains, plants)? <input type="checkbox"/> Yes <input type="checkbox"/> No No Estimated daily flow is ____ gallons. <u>Please obtain and submit an approval letter from local utility.</u></p> |
| <p>14. Will the action use more than 5% of available capacity of trash disposal system (collection, incinerator plant, and landfill)? Also clearly explain proposed handling and disposal of chemical wastes, biohazards, syringes, and other special wastes. <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>15. Will the action use more than 5% of available heating fuel (gas, coal or heating oil)? <input type="checkbox"/> Yes <input type="checkbox"/> No Annual quantities have already been described. Explain which of these fuels, if any, are in short supply.</p> |
| <p>16. Will the action decrease by 5% the food delivery system by removal of retail food stores etc.? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |

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| <p>17. Will the action decrease by 5% the area's domestic housing by demolition, closing, etc.? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain: Will any housing be demolished, closed, etc.?</p> |
| <p>18. Will the action decrease by more than 5% the use of existing transit systems (bus, train, etc.)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain: Relate to extent of new employment.</p> |
| <p>19. Will the action decrease accessibility to routine health services by altering point-of-service delivery? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>20. Will the action increase by more than 5% the patient load of the area's routine care services? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>21. Will the action change the availability of social services by opening or closing facilities? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>22. Will the action increase by more than 5% the number of social services recipients (through unemployment)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>23. Will the action cause discontinuation of existing stops or train stations? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>24. Will the action increase by more than 5% the annual volume of telephone, telegraph, or mail? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |
| <p>25. Will the action eliminate employment sources for 10% of the population? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes explain:</p> |

26. Will the action change school enrollment by more than 5%?

☐ Yes ☐ No

If yes explain:

E. HUMAN VALUES

The fifth set of criteria is directed toward human values concerning the environmental qualities generally agreed upon to the extent that they are stated in statutes, standards, or regulations.

1. Will the action involve the purchase, construction, alteration, renovation, or lease of real property or portion of real property that is more than 50 years old? Will the action encroach upon any historical, architectural, or archeological cultural property? Will the proposed action adversely affect properties listed, or eligible for listing, on the National Register of Historic Places? [Buildings, archaeological sites, National Historic Landmarks; objects of significance to a Tribe including graves, funerary objects, and traditional cultural properties.]

☐ Yes ☐ No

If yes explain: Obtain and submit clearance letters from State Historic Preservation Officer. For assistance, consult with the State Historic Preservation Officer (SHPO) or the Tribal Historic Preservation Officer (THPO)]

2. Will the action be likely to adversely affect a plant or animal species listed on the Federal or applicable State list of endangered or threatened species or a specific critical habitat of an endangered or threatened species? (Discovering an endangered or threatened species in the project area will stop the project, and the Endangered Species Act has significant fines and penalties for violations.)

☐ Yes ☐ No

3. Will the action convert significant agricultural lands to non-agricultural uses and exceed 160-point score on the farmland impact rating?

☐ Yes ☐ No

If yes explain:

4. Will the action directly affect a Coastal Zone in a manner inconsistent with the State Coastal Zone Management Plan? (All Federal programs or projects in the coastal zone must comply with the consistency provisions of the Act. Each coastal State should have a State office to manage its coastal zone development and use.)

☐ Yes ☐ No

If yes explain:

5. Will the action adversely affect a wild, scenic, or recreational river area or create conditions inconsistent with the character of the river? (A consideration for activities that are in or near any wild and scenic waterway including construction of stream/river crossings, intake structures, outfalls, etc.)

☐ Yes ☐ No

If yes explain:

F. Mitigative Measures

Please discuss any mitigative measures undertaken to minimize any environmental impacts. For example, utilizing EPEAT or EnergyStar guidance as part of IT selection and purchase criteria, or incorporating Sustainable Design or Leadership in Energy and Environmental Design (LEED) standards into alteration/repair/renovation or new construction project.

Discuss Mitigative Measures:

ENVIRONMENTAL INFORMATION AND DOCUMENTATION CERTIFICATION

☐ I certify that to the best of my knowledge and ability the information presented herein is true and correct (enter appropriate information in the shaded blanks):

| Signature (Type Full Name) | Title or Position | Phone # | Date |
|----------------------------|-------------------|---------|------|
|----------------------------|-------------------|---------|------|

(Grantee or responsible, knowledgeable person who completed this document)

| Signature (Type Full Name) | Title or Position | Phone # | Date |
|----------------------------|-------------------|---------|------|
|----------------------------|-------------------|---------|------|

(Grantee Authorized Representative)

Appendix B: SAMPLE NOTICE OF FEDERAL INTEREST

On (insert date), the Health Resources and Services Administration awarded Grant No. _____ to (insert name of recipient). The grant provides funds for (describe purpose of grant, e.g., construction of a building), which is located on the land described below in _____ County, State of _____:

(INSERT LEGAL DESCRIPTION OF PROPERTY—Land and Buildings within the scope of the grant project.)

The Notice of Award for this grant includes conditions on use of the aforementioned property and provides for a continuing Federal interest in the property. Specifically, the property may not be (1) used for any purpose inconsistent with the statute and any program regulations governing the award under which the property was acquired; (2) mortgaged or otherwise used as collateral without the written permission of the Associate Administrator, Office of Federal Assistance Management (OFAM), Health Resources and Services Administration (HRSA); or (3) sold or transferred to another party without the written permission of the Associate Administrator, OFAM, HRSA. These conditions are in accordance with the statutory provisions set forth in [insert the name of the appropriations bill authorizing the award of the construction/major alterations and renovations projects for the particular year—see program guidance], Title 45 CFR part 74 or 92 as applicable, the HHS Grants Policy Statement, and other terms and conditions of award.

These grant conditions and requirements cannot be nullified or voided through a transfer of ownership. Therefore, advance notice of any proposed change in usage or ownership must be provided to the Associate Administrator, OFAM, HRSA.

Signature: _____

Typed Name: _____

Title: _____

Date: _____

(EXAMPLE OF NOTARIZED AFFIRMATION)

STATE OF _____

COUNTY OF _____

On this ____ day of _____, 20__, before me, the undersigned, a Notary Public for the County of _____, (State), personally appeared before me and is known to be the person who executed this instrument on behalf of said _____, and acknowledged to me that he/she executed the same as the free act and deed of said Corporation.

Witness my hand and official seal.

Notary Public in and for the County of _____, State of _____.